

Guidelines and Fill-In
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at www.ims.gov



2005 NATIVE AMERICAN LIBRARY SERVICES

*Grant Applications
and Guidelines*

INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

Application Deadlines:

For Basic Library Services with
Education/Assessment Option,
March 1

For Enhancement,
May 1

For information, call IMLS:
(202) 606-5227

NATIVE AMERICAN LIBRARY SERVICES

Grant Applications and Information

Fiscal Year 2005

What is IMLS?

The Institute of Museum and Library Services is an independent federal grant-making agency dedicated to creating and sustaining a nation of learners. The Institute fosters leadership, innovation, and a lifetime of learning by supporting the nation's 15,000 museums and 122,000 libraries. The Institute also encourages partnerships to expand the educational benefit of libraries and museums. Created by the Museum and Library Services Act of 1996, P.L. 104-208, IMLS administers the Library Services and Technology Act and the Museum Services Act. In 2003, Congress reauthorized the Museum and Library Services Act, P.L. 108-81, reaffirming the vital role that museums and libraries play in our communities. The Institute receives policy advice from the Presidentially appointed, Senate confirmed National Museum and Library Services Board.

For more information call or write:

Institute of Museum and Library Services
1100 Pennsylvania Avenue, NW
Washington, DC 20506
(202) 606-5227

E-mail: imlsinfo@imls.gov

Web site: <http://www.imls.gov/>

TTY (for hearing-impaired people): (202) 606-8636

Visually or learning disabled people may obtain assistance in acquiring a cassette recording of this or any other IMLS grant information and guidelines booklet by contacting IMLS.

Burden Estimate and Request for Public Comments

The time required to complete this information collection is estimated to average two hours per response for a Basic Grant and ten hours per response for an Enhancement Grant. This estimate includes the time to review instructions, search existing data resources, gather the data needed, and complete and review the information collection. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Institute of Museum and Library Services, 1100 Pennsylvania Avenue, NW, Room 223, Washington, DC 20506; and to the Office of Management and Budget, Paperwork Reduction Project (3137-0001), Washington, DC 20503.

CFDA No. 45.311



INSTITUTE
of MUSEUM
and LIBRARY
SERVICES

Dear Colleague:

It is a pleasure to present the guidelines for the FY 2005 Institute of Museum and Library Services Native American Library Services grants. In 2004 we made Basic Library Services Grants to 222 American Indian tribes and Alaska Native villages. Fifty-nine of these applicants also requested and will receive consulting services through Professional Assistance Grants. In addition, we received 41 applications for competitive Enhancement Grants and made 14 awards.

IMLS grants are designed to help Native American libraries overcome many of the challenges they face and improve services to their communities. The Institute encourages libraries to use technology to bring information to people in new and interesting ways. At the same time, these grants support a range of traditional library services to ensure that users have access to all the kinds of information they need and want.

Grant funds may be used to improve services to underserved communities and to persons who have difficulty using a library. They may also be used to establish or enhance electronic linkages with other libraries and service organizations, to promote the use of electronic networks, and to encourage the sharing of resources within and among communities.

It has been my pleasure to meet and talk with many of you who are working to improve library services to Native Americans, and I look forward to continuing a rewarding relationship.

Sincerely,

Robert S. Martin, Ph.D.
Director

2005 NATIVE AMERICAN LIBRARY SERVICES Grant Applications and Guidelines

NEW FOR 2005:

- *The Basic Grant is Part A of the 2005 Basic Grant with Education/Assessment Option. The Basic Grant award has been increased from \$4,000 to \$5,000.*
- *An Education/Assessment Option is Part B of the Basic Grant application and replaces the Professional Assistance Grant. The award is \$1,000 and is optional.*
- *Basic Grant awards will be announced in June 2005 rather than July 2005.*
- *IMLS now requires TEN copies of the Enhancement Grant application, plus the original, rather than the six copies required in previous years.*
- *An Authorizing Official signs the certification on the Application Face Sheet rather than the IMLS Assurances Form as required in previous years.*

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PART 1

**GENERAL
INFORMATION**

General Information

The Institute of Museum and Library Services is pleased to invite applications for the Native American Library Services program. These guidelines reflect recognition of a history of sound service by the precursor to this program within the U.S. Department of Education, the expressed need of former program participants, and opinions of other representatives of Indian tribes and Alaska Native villages.

The Native American Library Services program marks new opportunities for improved library services for an important part of the nation's community of library users. The IMLS Native American Library Services program offers two types of support to serve the range of needs of Indian tribes and Alaska Native villages. The two types of support are:

BASIC LIBRARY SERVICES GRANT WITH EDUCATION/ASSESSMENT OPTION

Basic Grants are available to support existing library operations and to maintain core library services. The purpose of the Education/Assessment Option is to provide funding for library staff to attend continuing education courses and/or training workshops on- or off-site; for library staff to attend or give presentations at conferences related to library services; and/or to hire a consultant for an on-site professional library assessment.

ENHANCEMENT GRANT

Enhancement Grants support activities to advance the applicant library's operations to new levels of service for activities specifically identified in the Library Services and Technology Act. These competitive grants are intended to encourage the implementation of both mainstream and innovative library practices.

How to Use These Guidelines

These guidelines are divided into three sections. Read Section 1 for general information on the purpose of the programs and about eligibility. Read Sections 2 and 3 for specific information on the two categories of support. Potential applicants should read the entire section for the type of support they are considering before preparing the application. The Office of Library Services staff is available to answer questions by telephone at 202/606-5227 or by e-mail at imlsinfo@imls.gov.

Current information about the Native American Library Services program and other IMLS programs and activities is published in *Primary Source*, the IMLS electronic newsletter. Instructions for subscribing to *Primary Source* are on the IMLS Web site, www.imls.gov.

Applicant Eligibility

Indian tribes and Alaska Native villages and corporations are eligible to apply for funding under this program. Entities such as libraries, schools, tribal colleges, or departments of education are not eligible applicants, although they may be involved in the administration of this program and their staff may serve as project directors.

For purposes of funding under this program, “Indian tribe” means any tribe, band, nation, or other organized group or community, including any Alaska Native village, regional corporation, or village corporations (as defined in or established pursuant to the Alaska Native Claims Settlement Act (43 U.S.C. Section 1601 et seq.)) that is recognized by the Secretary of the Interior as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. Eligible entities are listed on the Bureau of Indian Affairs Web site (www.doi.gov/bureau-indian-affairs-html), except for the recognized regional corporations and village corporations (Alaskan entities should refer to applicable provisions in the Alaska Native Claims Settlement Act, referenced above).

If a tribe has several bands, colonies, rancherias, communities, or other organizational entities listed in parentheses following a tribe name on the Department of Interior’s list of federally recognized tribes, only one of those entities may receive a grant in a grant category (Basic Grant with Education/Assessment Option or Enhancement Grant) in a fiscal year. For example, if a tribe has four bands, only one of the bands may apply for a Basic Grant with Education/Assessment Option in a fiscal year. However, one band may apply for a Basic Grant with Education/Assessment Option, while another band from that tribe may apply for an Enhancement Grant. It is the responsibility of the tribal chief executive to determine which entity will apply for each category.

Data Universal Numbering System (DUNS)/ Taxpayer Identification Number (TIN)

To improve the statistical reporting of federal grants and cooperative agreements, the Office of Management and Budget has directed all federal agencies to require all applicants for federal grants to provide a Dun and Bradstreet (D&B) Data Universal Numbering System (DUNS) number when applying for federal grants or cooperative agreements on or after October 1, 2003. The DUNS number will be required whether an applicant is submitting a paper application or using the government-wide electronic portal (E-Grants).

Organizations should verify that they have a DUNS number or take the steps needed to obtain one. Organizations can receive a nine-digit DUNS number at no cost by calling the dedicated toll-free DUNS Number request line at 1-866-705-5711 or by visiting <http://www.dnb.com/us/>.

The Taxpayer Identification Number is a nine-digit identification number used by the Internal Revenue Service (IRS) in the administration of tax laws. It is issued either by the Social Security Administration (SSA) or by the IRS. A Social Security number is issued by the SSA whereas all other TINs are issued by the IRS. An Employer Identification Number (EIN), also known as a federal Tax Identification Number, is a nine-digit number that the IRS assigns to business entities. The IRS uses this number to identify taxpayers that are required to file various business tax returns.

If your organization does not have a DUNS or TIN number, your application will be rejected.

PART 2

**BASIC LIBRARY SERVICES GRANT
WITH EDUCATION/
ASSESSMENT OPTION**

Basic Library Services Grant with Education/Assessment Option

ELIGIBILITY

Indian tribes and Alaska Native villages or corporations that are recognized by the Department of Interior are eligible to apply for a Basic Library Services Grant with Education/Assessment Option.

PURPOSE OF PROGRAM

Basic Grants are available to support existing library operations and to maintain core library services. Applicants will be required to document ongoing levels of library service in the “Institutional Profile” section of the application. At a minimum, an existing library should be able to document three basic criteria: regularly scheduled hours, staff, and materials available for library users.

The purpose of the **Education/Assessment Option** is to provide funding for library staff to attend continuing education courses and/or training workshops on- or off-site; for library staff to attend or give presentations at conferences related to library services; and/or to hire a consultant for an on-site professional library assessment.

HOW ARE GRANTS MADE?

Basic Grants are noncompetitive grants to eligible tribal libraries to be distributed in equal amounts among all eligible applicant tribes.

Conditions of a Grant

USE OF FUNDS

Funds may be used for ongoing library services for the tribal community provided by an established library, to improve existing library services, or to implement new library services as part of an established library, particularly as they relate to:

- establishing or enhancing electronic linkages among or between libraries;
- electronically linking libraries with educational, social, or information services;
- assisting libraries in accessing information through electronic networks;
- encouraging libraries in different areas, and encouraging different types of libraries, to establish consortia and share resources;
- paying costs for libraries to acquire or share computer systems and telecommunications technologies; and
- targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.

The services listed above are not in priority order and all are of equal importance.

Funds for the Basic Grant may be used for such costs as salaries for library personnel, library materials (including books, journals, electronic resources, and equipment), library supplies, telecommunication services and equipment, fees for participation in networks and consortia that provide the library with direct services, and training of library personnel in addition to or in lieu of training funds requested under the Education/Assessment Option.

Funds for the Education/Assessment Option may be used for library staff to attend continuing education courses and/or training workshops on- or off-site; to attend or give presentations at conferences related to library services; and/or to hire a consultant for an on-site professional library assessment.

**LIMITS ON
USE OF
FUNDS**

An Indian tribe may submit only one application for a Basic Grant in a fiscal year.

Grant funds may not be used for construction, contributions to endowment funds, social activities, ceremonies, entertainment, pre-grant costs, or **indirect costs**. Government-wide cost principles apply.

**THREE-YEAR
PLAN**

To help ensure that library services meet current local needs and to help applicants develop strategies to build services that will be needed in the future, IMLS requires that the applicant submit a three-year plan. A three-year plan is required each year that a Basic Grant application is submitted.

A three-year plan identifies community needs and outlines goals, objectives, and activities responding to those needs. The plan should include a description of an evaluation process to demonstrate progress toward goals and objectives. The plan must be approved by the library board or other appropriate governing body. The plan submitted in 2005 would be for the years 2006 to 2008. The development of a three-year plan does not imply automatic funding for three years nor does it imply the availability of grant funds past the stated grant period.

For a sample three-year plan, go to the IMLS Web site at www.imls.gov/grants/library/lib_nat.asp.

**GRANT
PERIOD**

All funds must be obligated within the grant period and expended within 90 days after the close of the grant period. The grant period begins October 1, 2005 and ends no later than September 30, 2006. No extensions to the grant period will be allowed.

A new Basic Grant application is required for each new fiscal year.

**AMOUNT
OF GRANT**

The estimated Basic Grant award for FY 2005 is \$5,000 with a supplemental Education/Assessment Option of \$1,000. Prepare a Basic Grant Spending Plan based on the estimated amount of \$5,000, no more and no less. If the Education/Assessment Option is chosen, prepare an Education/Assessment Spending Plan for \$1,000, no more and no less. The final amount will be determined after all applications have been received and eligibility has been determined. Grants will be made in June 2005 from FY 2005 funds.

**MAINTENANCE
OF EFFORT**

An Indian tribe receiving a Basic Grant should expend the same amount for library services, exclusive of the grant amount, during the grant period that was expended in the 12-month period immediately preceding the grant period. The Basic Grant is not intended to replace funds allocated for library services by the tribe.

**NOTIFICATION
OF GRANT
AWARD**

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions in June 2005.

**PAYMENT,
ACCOUNTING,
MANAGEMENT,
AND
REPORTING
PROCEDURES**

A federal accounting office handles the payment of Native American Library Services grants. Payments are made electronically within three weeks after recipients return the Automated Clearing House (ACH) form that is included in the grant award notification.

IMLS requires grant recipients to maintain a restricted account for funds received during the grant period. They do not need to maintain a separate bank account for IMLS funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that IMLS funds have been used for grant costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements.

A final performance report must be submitted no later than December 29, 2006.

IMLS will establish final reporting requirements. A grantee that does not submit the final report by the due date will jeopardize its eligibility to receive future IMLS grants. ACH forms may be submitted any time after the grant has been awarded but no later than 90 days after the close of the grant period. Any funds that have not been obligated within the grant period and expended within 90 days after the close of the grant period must be returned to IMLS.

**PREPARING
THE
APPLICATION**

IMLS now makes all applications available on its Web site in PDF (Portable Document File) fill-in forms for download. Applicants can download the electronic version of IMLS application forms and, using freely available Adobe Acrobat Reader software, type into the forms on any computer. This eliminates the need for a typewriter or for re-creation of IMLS application forms. Completed forms can then be printed out and mailed to IMLS as part of your application package. At this time, IMLS is not accepting electronic submission of grant applications. The fill-in forms are located at www.imls.gov/grants/appl/index.htm. Before completing the fill-in forms, read through the detailed instructions under the link Adobe Acrobat on the same page as the link to the applications.

CAUTION: Please note that Adobe Acrobat Reader does not allow you to save your completed forms. You must completely fill in and print the forms in one operation. The ability to save completed forms is available commercially with the purchased, full version of Adobe Acrobat 5.0 (or later) product suite.

An applicant requesting Basic Grant support (with the Education/Assessment Option, if requested) should complete the application and have an authorizing official sign the Face Sheet. An authorizing official of a tribe is an individual who has the authority to apply for federal support of the tribe's activities and to enter into legal agreements in the name of the tribe.

The applicant must submit one application with the original signature of an authorizing official on the Application Face Sheet. Photocopies or stamps of signatures will not be accepted on the original. **Include a second copy of the entire application.**

Do not place the original or copy in a binder or notebook.

Applicants submitting incomplete applications will not be considered for funding. IMLS will determine if an application is incomplete.

**FOR MORE
INFORMATION**

For questions, contact: Alison Freese, Senior Program Officer
Native American Library Services
(202) 606-5408; afreese@imls.gov

Sending the Application to IMLS

Send applications to:

Office of Library Services, Room 802
Institute of Museum and Library Services
1100 Pennsylvania Avenue, NW
Washington, DC 20506

SHIPPING

Applications must be postmarked no later than the application deadline:

March 1, 2005

Shipping an application to IMLS:

- All applications must be postmarked no later than the application deadline. Applications that do not meet the postmark deadline will be rejected without evaluation.
- All of the first-class and Priority mail sent to IMLS through the U.S. Postal Service is put through an irradiation process, which results in lengthy delays in mail delivery. Support materials (e.g., CDs, videos, slides) put through the irradiation process are suffering irrevocable damage.
- Please consider using commercial delivery services. Applications do not need to be sent overnight; ground service is acceptable.
- If you must use the U.S. Postal Service, IMLS recommends certified or registered mail.
- Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.
- In the event that a deadline falls on a day U.S. post offices are closed, such as Sundays and federal holidays, IMLS will accept proposals postmarked the next business day.
- Within 30 working days after the application deadline, IMLS will mail applicants an acknowledgment form with an application log number. If this form is not received, contact IMLS to make sure the application was received.

IMLS ACKNOWLEDGMENT

PROOF OF SHIPPING

IMLS may ask for proof of shipping if the postmark date on the package cannot be read.

- The U.S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, then verify that it is properly date stamped.
- IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier.
- IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U.S. Postal Service.
- If using registered mail, the green return receipt card does not meet the IMLS requirement for proof of shipping.

Application for Basic Library Services Grant with Education/Assessment Option

1. Name of Tribe or Alaska Native Village/Corporation _____

2. Applicant's Mailing Address _____

3. City _____ 4. State _____ 5. ZIP Code _____

6. DUNS Number (9 digits) _____ 7. Taxpayer Identification Number (9 digits) _____

8. Name and Title of Authorizing Official _____

9. Authorizing Official Mailing Address _____

10. City _____ 11. State _____ 12. ZIP Code _____

13. Business Phone of Authorizing Official _____ 14. Business Fax of Authorizing Official _____

15. E-mail Address of Authorizing Official _____

16. Name and Title of Project Director ☐ Mr. ☐ Ms. ☐ Dr. _____

17. Affiliation of Project Director (name of library, school, etc.) _____

18. Project Director's Mailing Address _____

19. City _____ 20. State _____ 21. ZIP Code _____

22. Business Phone of Project Director _____ 23. Fax Number of Project Director _____

24. E-mail Address of Project Director _____

25. Institutional Profile:

• Number of hours open per week _____

• Number of library staff _____

Part-time _____ Full-time _____

• Number of circulation transactions per year _____

• Number of holdings (books, subscriptions, media) _____

• Does the library have access to the Internet? _____

• Does the library provide public access to the Internet? _____

• Amount of operating budget for library services in most recently completed fiscal year (include all sources) _____

26. Identify which of the following activities will be supported by the Basic Grant funds: (please check all that apply)
- ☐ Establishing or enhancing electronic linkages among or between libraries
 - ☐ Electronically linking libraries with educational, social, or information services
 - ☐ Assisting libraries in accessing information through electronic networks
 - ☐ Encouraging libraries in different areas, and encouraging different types of libraries, to establish consortia and share resources
 - ☐ Paying costs for libraries to acquire or share computer systems and telecommunications technologies
 - ☐ Targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line

The activities listed above are not in priority order and all are of equal importance.

To the best of my knowledge and belief, the information provided in this application is true and correct. This application has been duly authorized by the governing body of the applicant, and the applicant will comply with all grant terms and conditions and with the assurances and certifications that appear in the IMLS Native American Library Services guidelines.

(Name and Title of Authorizing Official)

(Signature)

(Date)

Part A—Spending Plan for 2005 Native American Basic Grant

Please use the following table to describe how the Basic Grant will be spent. The total should equal \$5,000. This is available as a fill-in form at http://www.imls.gov/grants/library/lib_nat.asp. No indirect costs are allowed. Add more categories, if needed.

Description of materials, services, activities	Estimated cost for each category
1.	
2.	
3.	
4.	

Total: \$5,000

SAMPLE	
1. Staff to cover after-school hours—\$8.00/hr x 5 hrs/week x 50 weeks	\$2,000
2. New library books and magazine subscriptions	1,400
3. New computers	1,300
4. Internet service provider fees—\$25/month x 12 months	300

Total: \$5,000

Three-Year Plan

Include as a separate document a three-year plan for library services covering the years 2006 through 2008. IMLS supports and encourages the use of an evaluation tool called Outcomes-Based Evaluation (OBE). Additional information about Outcomes-Based Evaluation is available on the IMLS Web site at http://www.imls.gov/grants/current/crnt_obe.htm or upon request from IMLS.

The plan should identify community needs and how the library will address those needs. Include library interactions with other organizations. State the library's goals, objectives, and the activities to be implemented to achieve those goals. The three-year plan should include an evaluation plan that will demonstrate progress toward reaching the library's goals and objectives. Use the outline below:

1. Statement of needs and project goals/objectives
2. Activities you will undertake to achieve your objectives
3. Evaluation plan (Describe how you will know that you have reached your goals/objectives, be specific.)

For a sample three-year plan, go to the IMLS Web site at www.imls.gov/grants/library/lib_nat.asp.

Maintenance of Effort

Please check the appropriate response:

_____ FY 2005 expenditures will equal or exceed previous 12-month grant period. Maintenance of effort is assured.

_____ FY 2005 expenditures will not equal or exceed previous 12-month expenditure. Maintenance of effort is not assured.

_____ The tribe does not spend its own funds to support the library. Maintenance of effort does not apply.

Part B—Education/Assessment Option

Purpose:

- To attend continuing education courses and/or training workshops on- or off-site
- To attend or give presentations at conferences related to library services
- To hire a consultant for an on-site professional library assessment

Are you requesting the Education/Assessment Option of \$1,000?

☐ Yes ☐ No

Spending Plan for Education/Assessment Option

Use the following table to describe how the Education/Assessment Option will be spent. The total should equal \$1,000. This is available as a fill-in form at www.imls.gov/grants/library/lib_nat.asp. No indirect costs are allowed. Add more categories, if needed.

Description of activity or activities, i.e., conference or training workshop that staff will attend; type of professional assessment needed	Estimated cost for each category
1.	
2.	
3.	
Total:	\$1,000

IMLS Assurances

The IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, non-discrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the assurances statement below. Review the Assurances and sign the certification on the Application Face Sheet. If you receive a grant, you must comply with these requirements.

ASSURANCES STATEMENT

By signing the application form, the authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, the applicant will comply with the statutes outlined below and all related IMLS regulations. These assurances are given in connection with any and all financial assistance from the Institute of Museum and Library Services after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the Federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

I. CERTIFICATIONS REQUIRED OF ALL APPLICANTS

FINANCIAL, ADMINISTRATIVE, AND LEGAL ACCOUNTABILITY

The authorizing official, on behalf of the applicant, certifies that the applicant has legal authority to apply for federal assistance and the institution, managerial, and financial capability (including funds sufficient to pay the non-federal share of project costs) to ensure proper planning, management, and completion of the project described in this application. All grantees must comply with all grant terms and conditions, all requirements of the IMLS Grants Regulations (45CFR 1110, 1183, 1185, and 1186) and all other applicable federal statutes and regulations.

FEDERAL DEBT STATUS

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

DEBARMENT AND SUSPENSION

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that neither the applicant, nor its principals:

- (a) are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- (b) have within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

- (c) are presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

NON-DISCRIMINATION

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 *et seq.*), which provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or otherwise be subject to discrimination under any program or activity receiving federal financial assistance;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*), which prohibits discrimination on the basis of disability in federally assisted programs;
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and
- (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age in federally assisted programs.

DRUG-FREE WORKPLACE ACT OF 1988

- A. The authorizing official, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:
 - (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
 - (b) establishing an ongoing drug-free awareness program to inform employees about:
 - 1. the dangers of drug abuse in the workplace;
 - 2. the grantee's policy of maintaining a drug-free workplace;
 - 3. any available drug counseling, rehabilitation, and employee assistance programs; and
 - 4. the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
 - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - 1. abide by the terms of the statement; and
 - 2. notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
 - (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice,

including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

- (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
 - 1. taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*); or
 - 2. requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law, or other appropriate agency;
- (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

- B. The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**LOBBYING
ACTIVITIES
(APPLIES
TO
APPLICANTS
REQUESTING
FUNDS IN
EXCESS OF
\$100,000)**

The authorizing official certifies, to the best of his or her knowledge and belief, that:

- (a) No federal appropriated funds have been paid or will be paid, by or on behalf of the authorizing official, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the authorizing official shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (c) The authorizing official shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**GENERAL
CERTIFICATION**

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with all applicable requirements of all other federal laws, executive orders, regulations, and policies governing the program.

II. CERTIFICATIONS REQUIRED OF SOME APPLICANTS

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

**HISTORIC
PROPERTIES**

The authorizing official, on behalf of the applicant, certifies that the applicant will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 *et seq.*).

For further information on the certifications, contact IMLS at 1100 Pennsylvania Avenue, NW, Washington, DC 20506

Checklist for Basic Grant with Education/Assessment Option Application

Before mailing your application, please make certain that you have taken the following steps:

Please check

Completed **all** sections of the application form. _____

Listed the tribe or Alaska Native village or corporation as the name of the applicant. Schools, tribal colleges, departments of education, and libraries are not eligible applicants, although they may be involved in the administration of this program. _____

Completed Face Sheet and included original signature of authorizing official. _____

Included Part A — Spending Plan for Basic Grant. _____

Included Part B — Spending Plan for Education/Assessment Option (if requested). _____

Included a Three-Year Plan. _____

Included the **ORIGINAL AND ONE COPY** of the complete application form. _____

Please include a copy of this completed checklist when you mail the application.

PART 3
ENHANCEMENT
GRANT

Enhancement Grant

PURPOSE OF PROGRAM

Enhancement grants are made to support: (1) projects that address the goals of the Library Services and Technology Act (LSTA); (2) the performance of library activities relating to the collection and organization of materials; and (3) improvements in accessibility of materials and services.

Projects may enhance existing library services or implement new library services, particularly as they relate to the goals of the LSTA listed below:

- establishing or enhancing electronic linkages among or between libraries;
- electronically linking libraries with educational, social, or information services;
- assisting libraries in accessing information through electronic networks;
- encouraging libraries in different areas, and encouraging different types of libraries, to establish consortia and share resources;
- paying costs for libraries to acquire or share computer systems and telecommunications technologies; and
- targeting library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children (from birth through age 17) from families with incomes below the poverty line.

The services listed above are not in priority order and all are of equal importance.

APPLICANT ELIGIBILITY

Indian tribes and Alaska Native villages or corporations are eligible to apply for an Enhancement Grant only if they have applied for a Basic Grant in the same fiscal year. For example, a tribe submitting an application in 2005 for an Enhancement Grant must have submitted an application for a Basic Grant with Education/Assessment Option in 2005 and must be eligible to receive the Basic Grant. Tribes may elect to have one band apply for a Basic Grant and a different band of the same tribe apply for an Enhancement Grant.

For purposes of funding under this program, “Indian tribe” means any tribe, band, nation, or other organized group or community, including any Alaska native village, regional corporation, or village corporations (as defined in or established pursuant to the Alaska Native Claims Settlement Act (43 U.S.C. Section 1601 et seq.)) that is recognized by the Secretary of the Interior as eligible for the special programs and services provided by the United States to Indians because of their status as Indians. Eligible entities are listed on the Bureau of Indian Affairs Web site (www.doi.gov/bureau-indian-affairs-html), except for the recognized regional corporations and village corporations (Alaskan entities should refer to applicable provisions in the Alaska Native Claims Settlement Act, referenced above).

Entities such as schools, tribal colleges, departments of education, and libraries are not eligible applicants, although they may be involved in the administration of this program and their staff may serve as project directors.

**HOW
GRANTS
ARE MADE/
APPLICATION
REVIEW
AND
EVALUATION**

IMLS staff determines whether an applicant is eligible and whether an application is complete. IMLS staff may contact applicants to obtain information needed to make an eligibility determination. If an applicant is determined to be ineligible, the agency will reject the application without evaluating the proposed project. Similarly, the agency will reject an incomplete application without subsequent evaluation of the proposed project. IMLS will notify a tribe if its application is rejected.

All eligible and complete applications are competitively reviewed through the agency's peer review process. Applications are evaluated by individual field review and/or panel review. IMLS draws its reviewer pool from professionals in the field who have relevant knowledge and expertise in the types of activities and organizations identified in the applications.

During the evaluation process, reviewers are instructed to evaluate the proposed projects according to the criteria identified in these guidelines. Accordingly, applicants should address all program criteria in their Application Narratives and include supporting materials in their submissions to the agency. The IMLS Director makes funding decisions based on the reviewers' evaluations and the overall goals of this program and the agency.

Conditions of a Grant

USE OF FUNDS

IMLS Enhancement Grant funds may be used only for costs directly related to the Enhancement project, such as costs for salaries for library personnel, library materials (including books, journals, electronic resources, and equipment), library project supplies, telecommunication services and equipment, and fees for participation in networks and consortia that provide the library with direct services. General office supplies are considered part of indirect costs and should not be requested as direct costs. No more than 15 percent of the granted funds may be used for indirect costs, unless the applicant has a current, federally negotiated indirect cost rate. Government-wide cost principles apply.

IMLS expects that funds will support projects that provide services to the public. If a tribe is requesting funding for services or materials to which access is restricted, it must submit its access policy with the application, explaining what percentage of materials would be restricted and providing a justification for the restricted access.

LIMITS ON USE OF FUNDS

Grant funds may not be used for construction, contributions to endowment funds, social activities, ceremonies, entertainment, or pre-grant costs. All listed expenses, including all cost sharing, must be incurred during the grant period. Government-wide cost principles apply.

THREE-YEAR PLAN

Please include a copy of the Three-Year Plan submitted with the 2005 Basic Grant application or a revised/expanded version thereof. IMLS supports and encourages the use of an evaluation tool called Outcomes-Based Evaluation (OBE). Additional information about Outcomes-Based Evaluation is available on the IMLS Web site at http://www.imls.gov/grants/current/crnt_obc.htm or upon request from IMLS.

GRANT PERIOD

Applicants may request either a one- or two-year grant. Once funds are awarded, funds must be expended within the specified grant period. The grant period begins no earlier than October 1, 2005 and begins no later than December 1, 2005. Grantees may begin project activities any time during one of those months but the grant period will begin on the first day of the month in which project activities are undertaken and end on the last day of the month in which project activities are completed.

A one-time no-cost extension to the grant period may be requested from the Program Officer. A request for an extension must be made in writing no later than 10 days before the end of the grant period.

GRANT AMOUNT

An applicant may request up to a total of \$150,000 regardless of whether the grant period is one or two years. IMLS will review and negotiate budgets as necessary.

Applicants may be granted an amount less than that requested. Grants will be made in September 2005 from FY 2005 funds.

COST SHARING

Cost sharing is encouraged but not required in this program. **IMLS does not allow federal funds to be used as cost share.**

All cost sharing expenses must be incurred during the grant period, not before or after. Tribes must maintain documentation of cost sharing for reporting purposes to IMLS. In-kind contributions may be used for cost sharing if they specifically relate to the Enhancement Grant project. If any funds are to be contributed as cost share by sources other than the applicant or its official partners, the applicant must identify whether the commitment of funds is assured or pending. If the funds are assured, the applicant should include a letter from the source affirming its commitment. If the funds are not assured, the applicant should describe its plan for meeting the promised cost share from other sources in the event that the pending funds are not received. Government-wide uniform administrative rules and requirements apply.

Your cost sharing may consist of:

- Cash contributions (funds allocated directly to the project by the applicant or a third party);
- In-kind contributions (the value of non-cash contributions provided by the applicant or a third party, for example staff time (if salaries are not paid with federal funds), volunteer time, materials and supplies, and services).

The limitation on using federal funding as cost share applies to salaries, equipment, services, etc. funded by federal dollars. Costs such as rent (if space is owned by the tribe), utilities, and insurance are considered to be part of indirect costs and will not be accepted as direct costs requested from IMLS or as part of direct cost in-kind contributions, if an indirect cost rate or the 15 percent administrative fee is charged to the project. If personnel or resources funded by federal dollars are a part of the project design and/or management plan, their role may be described in the application narrative.

Indirect costs may be used as cost sharing. Indirect costs, often referred to as overhead costs, are not attributable to a specific project or activity of an organization.

MAINTENANCE OF EFFORT

Although cost sharing is not required in this program, IMLS requires that organizations maintain their previous funding efforts and demonstrate that federal funds will enhance rather than replace tribal funding for library services. Applicants are encouraged, when possible, to contribute financially or through in-kind services to proposed projects in order to promote community interest and involvement.

LIMITS ON FUNDING

An Indian tribe may submit only one application for an Enhancement Grant in a fiscal year. A grantee receiving a two-year Enhancement Grant from IMLS may not apply for another Enhancement Grant covering the same time period as the second year of the first grant. For example, if a tribe received a two-year Enhancement Grant in FY 2004, they may not apply for another Enhancement Grant until FY 2006.

**COPYRIGHT/
WORK
PRODUCTS**

IMLS requires acknowledgment of IMLS assistance in all publications and other products resulting from the project. Products should be distributed free or at cost unless the recipient has received written approval for another arrangement. The recipient may copyright, with written permission, any work that is subject to copyright and was developed, or for which ownership was purchased, under an award. IMLS reserves, for federal government purposes, a royalty-free, non-exclusive, and irrevocable license to reproduce, publish, or otherwise use the work and authorize others to reproduce, publish, or otherwise use the work. IMLS requires that awardees provide three copies of any products produced with IMLS funds to IMLS with the final reports. Generally, a beta version of software developed on an IMLS-funded project must be provided to IMLS as a product of the grant. Consult with IMLS regarding software development projects.

**NOTIFICATION
OF GRANT**

No information about the status of an application will be released until all applications have been reviewed and all negotiations are concluded. IMLS will notify applicants of final decisions in September 2005.

**PAYMENT,
ACCOUNTING,
MANAGEMENT,
AND
REPORTING
PROCEDURES**

A federal accounting office handles the payment of Native American Library Services Grants. Grant recipients may request cash advances or reimbursements as needed during the project period. Final reimbursement requests must be made within 90 days after the end of the grant period. Payments are made electronically. IMLS requires grant recipients to maintain a restricted account for funds received during the project period. They do not need to maintain a separate bank account for IMLS grant funds; however, they must establish and maintain a separate accounting category within an internal accounting system to show that the funds have been used for project costs only. This restricted accounting record must be adequate to satisfy normal auditing procedures. Grants are subject to the provisions of Office of Management and Budget audit requirements. In addition, government-wide uniform grant administrative rules and requirements apply.

Grant recipients are required to submit six-month performance reports as well as annual financial status reports. They are also required to submit a final performance report and a final financial report. Interim reports must be submitted within 30 days after the end of each reporting period. Final performance and financial reports are due within 90 days after the close of the grant period. IMLS will provide reporting instructions.

Application Evaluation Criteria

A project planning tutorial is available on the IMLS website at http://e-services.imls.gov/project_planning/. IMLS supports and encourages the use of an evaluation tool called Outcomes-Based Evaluation (OBE). Additional information about Outcomes-Based Evaluation is available on the IMLS Web site at http://www.imls.gov/grants/current/crnt_obe.htm or upon request from IMLS.

All eligible projects will be evaluated on the basis of the following criteria.

1. ASSESSMENT OF NEED

Include an assessment of need as it relates to the community and the library. Include information such as:

- A description of the community
- The current status of the library, including baseline data that will be used to measure success of outcomes at project completion
- What needs will be met by the goals of this project and how those needs were determined

2. PROJECT DESIGN AND EVALUATION PLAN

Include a description of the proposed project plan. Include information such as:

- Clear goals and objectives
- Action steps and activities to implement the project
- Evidence that the project is of sufficient scope to create positive change in library services to the community
- Plan to monitor and assess progress of project
- Plan to evaluate the impact of the project; i.e., measurement of outcomes for each objective, measurement of community satisfaction, and plan for documenting final results, both expected and unexpected
- A plan to maintain and continue the positive changes after the period of federal funding

3. PROJECT RESOURCES: BUDGET, PERSONNEL, AND MANAGEMENT PLAN

Describe the resources that will be made available for completing the proposed project. Include information such as:

- Evidence that the applicant will effectively complete the project activities through the deployment and management of resources including money, facilities, equipment, and supplies
- A cost-efficient budget (see page 3.15 for detailed budget instructions)
- Evidence that the project personnel demonstrate appropriate experience and expertise and will commit adequate time to accomplish project goals and activities
- Description of reporting relationships for personnel and oversight responsibilities for project
- What other tribal, federal, or non-federal resources will be used to carry out the proposed project
- Evidence that there is a record of sound financial planning and management

Note: Resumes or vitae of **no more than two pages** each for all personnel involved in project activities must be included. Include position descriptions for new positions for which IMLS funding is requested. You do not need to identify persons to be hired for new positions.

4. IMPACT AND INTENDED RESULTS

- Describe how this project will impact library services to your community
- Describe any innovative approaches you will use
- Describe what aspects of this project could be replicated by other tribal libraries
- Describe how project results and lessons learned will be disseminated locally and to the Native American library community at large.

FOR PROJECTS INVOLVING DIGITIZATION

If a proposed project involves digitization, the Specifications for Projects Involving Digitization form on pages 3.29-3.30 must be completed. The “Guidance for Digitization Projects” on the following pages is intended to assist the applicant in learning more about digitization projects. If the proposed project does not include digitization, the Specifications form is not required.

Guidance for Digitization Projects

INFORMATION TO INCLUDE IN PROPOSAL

In the proposal narrative, describe the subject matter and its significance, including relationships to related collections. Explain how the material was or will be selected for digitization. Describe the additional value that digitization will bring to the materials, such as enabling innovative new uses or attracting new audiences. Describe how potential users will discover the collection. The application also includes a form, Specifications for Projects Involving Digitization (see p. 3.29), which must be completed and submitted with the application. Funded digitization projects are encouraged to report their projects to a public registry of digital resources and/or a national bibliographic utility, as appropriate.

INTEROPERABILITY

Digitization projects should follow existing standards and best practices where applicable and should be interoperable with other collections.

DIGITIZATION PLANS

Applicants for digitization projects are strongly encouraged to develop a digitization plan before writing the grant application, and to include a copy of the plan as an appendix to the application.

RESOURCES FOR DIGITIZATION PROJECTS

IMLS has published “A Framework of Guidance for Building Good Digital Collections” as a resource for applicants planning digitization projects, which is now maintained by the National Information Standards Organization. It is available at <http://www.niso.org/framework/forumframework.html>. This document contains links to many Web sites with useful information for planning and implementing digitization projects. IMLS offers a wealth of information, including lists of digitization projects funded, at the Digital Corner on the IMLS Web site at <http://www.imls.gov/digitalcorner/index.htm>.

The list of resources below will guide applicants to resources for learning more about digitization projects. It is neither exhaustive nor an endorsement by IMLS of any particular resource.

Training

- Many universities, organizations, and businesses provide training in digitization and related topics. The following are examples only—check the general resource lists for leads to more training opportunities and the topic lists below for training resources in specific subject areas.
- <http://www.library.cornell.edu/preservation/tutorial/contents.html>—Moving Theory into Practice: Digital Imaging Tutorial, by Cornell University Department of Preservation and Collections Maintenance.
- http://www.solinet.net/digital_services/ds_templ.cfm?doc_id=2506—SOLINET (Southeastern Library Network) offers training in digital imaging, copyright, digital preservation, and other related topics.
- <http://www.oclc.org/education/workshops/default.htm>—OCLC (Online Computer Library Center) provides seminars, workshops, and online training in digital projects, preservation, copyright, and other topics related to digitization.

General

- <http://www.cdpheritage.org/resource/index.html>—The Colorado Digitization Program’s Web site has a site devoted to digitization resources that includes information about copyright, metadata, digitization standards, and administrative concerns.
- <http://memory.loc.gov/ammem/ftpfiles.html>—Building Digital Collections: Technical Information and Background Papers, Library of Congress American Memory Project.

- <http://library.amnh.org/diglib/index.html>—The American Museum of Natural History's Digital Library Project Web site has information on and links to resources on many topics, such as planning, standards, and digital resources management.
- <http://sunsite.berkeley.edu/imaging>—Digitizing Images and Text, the Berkeley Digital Library portal, links to resources on digitization projects, resources, and tools.
- <http://www.mainememory.net/home.shtml>—The Maine Memory Network provides guidance and resources for its contributing cultural institutions such as libraries, museums, archives, and historical societies.
- <http://images.library.uiuc.edu/resources/links.htm>—The University of Illinois at Urbana-Champaign Digital Imaging Media Technology Initiative provides resources about many digitization topics, including a listing of current imaging programs, organizations, and committees.
- <http://www.chin.gc.ca/English/index.html>—The Canadian Heritage Information Network has information on creating and managing digital content.
- <http://www.nedcc.org/digital/tofc.htm>—The Handbook for Digital Projects: A Management Tool for Preservation and Access, a Northeast Document Conservation Center site, offers nine chapters of a handbook on project management, scanning, copyright issues, technical topics, best practices, vendor relations, and longevity. Includes many links to related sites.
- <http://www.diglib.org/publications.htm>—The Digital Library Federation has publications on a range of topics including digital image management and preservation.
- http://www.rlg.org/en/page.php?Page_ID=12081—The Research Library Group's DigiNews, a bimonthly Web-based newsletter.
- <http://www.asis.org/Bulletin/Jun-04/index.html>—The Bulletin of the American Society for Information Science and Technology, vol. 30, no. 5, June/July 2004, contains a special section about online museum information.

Metadata

- http://www.niso.org/standards/resources/Metadata_Demystified.pdf—Metadata Demystified, by Amy Brand, Frank Daly, and Barbara Meyers (The Sheridan Press and NISO Press, 2003).
- http://www.getty.edu/research/conducting_research/standards/intrometadata/index.html—Introduction to Metadata: Pathways to Digital Information, edited by Murtha Baca (Getty Research Institute, 2000).

Preservation of Digital Material

- <http://www.library.cornell.edu/iris/tutorial/dpm>—Digital Preservation Management: Implementing Short-term Strategies for Long-term Problems, a tutorial by the Cornell University Department of Preservation and Collections Maintenance.
- <http://www.dlib.org>—D-Lib Magazine has many articles on preservation of digital materials.

Intellectual Property

- <http://www.umuc.edu/distance/odell/cip>—Center for Intellectual Property and Copyright in the Digital Environment, by the Office of Distance Education and Lifelong Learning at the University of Maryland University College.
- <http://www.copyright.iupui.edu>—Copyright Management Center (CMC), Indiana University—Purdue University Indianapolis.

Universal Access

- <http://www.w3.org/WAI/>—The World Wide Web Consortium's guidance and resources on Web accessibility for people with disabilities.
- <http://trace.wisc.edu/world/web>—Designing More Usable Web Sites. The Trace Center presents resources on universally accessible Web guidelines, compliance with Section 508, and forums for discussing accessibility issues.

Preparing the Application Package

An application requesting an Enhancement Grant through the Native American Library Services program of the IMLS must include the following materials organized in the order listed:

1. Face Sheet
2. Abstract
3. Narrative (includes all evaluation criteria except “Budget”)
4. Budget
 - a. Detailed Budget forms
 - b. Summary Budget form
 - c. Budget Justification
 - d. Current federally negotiated rate agreement for indirect costs, if applicable
5. Specifications for Projects Involving Digitization, if applicable
6. Schedule of Completion
7. Attachments, such as:
 - Three-Year Plan (required)
 - Resumes of **all** staff involved in project (maximum of 2 pages each)
 - Position descriptions for new positions for which IMLS funding is requested
 - Needs assessments or other pertinent documentation
 - Letters of support; letters of commitment
 - Organizational chart

Original and copies: The applicant must submit one original (with original signature of authorizing official) and **TEN** copies of the entire application, plus **TWO** additional copies of the Face Sheet. Do not place the original or copies in binders or notebooks.

Electronic copies of application materials: Applicants are requested to send an electronic copy of the information on the Face Sheet, including the 200 word project description, and the abstract, narrative, and specifications for digitization (if applicable) on a 3.5 inch disk or CD, formatted as a text file (.txt) or rich text file (.rtf). You do not need to replicate the format of the Face Sheet

Formatting requirements:

- Use 8.5 x 11 inch paper
- Leave a margin of at least .5 inch on all sides
- Print on only one side of each page
- Number each page of the **entire** application
- **Print in 12 point typeface with no more than six lines per vertical inch and standard spacing between letters. Condensed fonts are not acceptable.** Handwritten applications will not be accepted.

No submitted application materials will be returned.

**ELECTRONIC
FILL-IN
APPLICATION
FORMS**

IMLS now makes all applications available on its Web site in PDF (Portable Document File) fill-in forms for download. Applicants can download the electronic version of IMLS application forms and, using freely available Adobe Acrobat Reader software, type into the forms on any computer. This eliminates the need for a typewriter or for re-creation of IMLS application forms. Completed forms can then be printed out and mailed to IMLS as part of your application package. At this time, IMLS is not accepting electronic submission of grant applications. The fill-in forms are located at www.imls.gov/grants/appl/index.htm. Before completing the fill-in forms, read through the detailed instructions under the link Adobe Acrobat on the same page as the link to the applications.

CAUTION: Please note that Adobe Acrobat Reader does not allow you to save your completed forms. You must completely fill in and print the forms in one operation. The ability to save completed forms is available commercially with the purchased, full version of Adobe Acrobat 5.0 (or later) product suite.

FACE SHEET

The Face Sheet is provided. Use or replicate this form. It is available as a fill-in form on the IMLS Web site under Native American Library Services.

An authorizing official must sign the certification at the bottom of the Face Sheet. An authorizing official of the applicant tribe is a person who has the authority to apply for federal support of the tribe's activities and to enter into legal agreements in the name of the tribe. To be considered for a grant, the authorizing tribal official must read the IMLS Assurances and then sign the Face Sheet. Photocopies or stamps of signatures will not be accepted on the original form. Indicate the title of the official.

ABSTRACT

An abstract of no more than one page, single spaced (600 word maximum) should describe the primary goals of the proposed activities and present an overview of the design of the project to achieve those goals. Describe anticipated results/outcomes.

NARRATIVE

A narrative of no more than 10 single-spaced, one-sided pages should address the evaluation criteria listed on pages 3.9–3.10. Your narrative should include sections on: 1. Assessment of Need; 2. Project Design and Evaluation Plan; 3. Project Resources: Budget, Personnel, and Management Plan; and 4. Impact and Intended Results. The narrative should provide a comprehensive description for each of the criteria and they should appear in the order listed. Make it clear to reviewers why you are proposing the project, what the project entails, how the activities will be accomplished, who will be involved, when the activities will take place, and how the project will be managed, evaluated, and sustained.

Because reviewers base their evaluations only on the information presented in your application, it is important that you prepare a clear, concise, well-organized document. IMLS has created a Project Planning Tutorial that is accessible from the home page of the Web site (www.imls.gov) under IMLS E-Services. The tutorial was designed for organizations applying for National Leadership Grants (NLG); however, it is a useful planning tool for Enhancement Grant applications as well.

If your project involves materials currently under copyright, you should indicate what has been done to secure the necessary permission to copy or to publish the materials.

BUDGET

The IMLS Enhancement Grant application includes three elements to describe the costs of a proposed project: a Detailed Budget form for each year of the project, a Summary Budget form that describes costs for the entire project, and a Budget Justification that explains all components of the Detailed Budget form.

IMLS has provided instructions below on what information to include in particular categories of the Detailed Budget form. The budget should include costs to be supported by IMLS funds and cost sharing, if applicable. Only those costs necessary to achieve the specific project goals should be included in the budget. The Summary Budget form and the Detailed Budget forms are available as fill-in forms on the IMLS Web site under Native American Library Services.

DETAILED BUDGET FORMS INSTRUCTIONS**Project Costs**

The budget should include the project costs that will be charged to grant funds as well as those that will be supported by applicant or third-party cash and in-kind contributions (cost sharing). In-kind contributions include the value of services or equipment that is donated to the project free of charge.

All of the items listed, whether supported by grant funds or cost-sharing contributions, must be reasonable, necessary to accomplish project objectives, allowable in terms of the applicable federal cost principles, auditable, and incurred during the grant period. Charges to the project for items such as salaries, fringe benefits, travel, and contractual services must conform to the written policies and established practices of the applicant organization.

When indirect costs are charged to the project, care should be taken to ensure that expenses included in the organization's indirect cost pool (see Indirect Costs below) are not charged to the project as direct costs.

Fringe Benefits

Fringe benefits may include contributions for social security, employee insurance, pension plans, etc. Only those benefits not included in an organization's indirect cost pool may be shown as direct costs.

Travel Costs

Applicants who receive Enhancement Grant awards must attend an annual grantee meeting. As part of your travel budget, \$2,500 is included for each year of the grant under IMLS funds to attend the Enhancement grantee meeting. The lowest available commercial fares for coach or equivalent accommodations must be used and foreign travel must be undertaken on U.S. flag carriers when such services are available.

Equipment

Permanent equipment is defined as nonexpendable personal property having a useful life of more than one year and an acquisition cost of \$5,000 or more.

Services

The costs of project activities to be undertaken by a third-party contractor, including a partner, should be listed under this budget category as a single line item that shows the amount that will be charged to IMLS grant funds and the cost sharing that will be contributed by the third party. A complete itemization of these costs should be attached to the IMLS budget form. If there is more than one contractor, the cost of each contract must be listed separately on the IMLS budget form and must have an attached itemization. Individual consultants may be listed under "Consultant Fees."

Check to be certain the budget is mathematically correct before it is finalized. Round off to the nearest dollar.

SUMMARY BUDGET

The Summary Budget should clearly identify the amount requested from IMLS, and the amount provided as cash and in-kind contributions by the applicant, by any partners, and from any other sources in the cost-share column. This page is available as an electronic fill-in form on the IMLS Web site at http://www.imls.gov/grants/library/lib_nat.asp or may be recreated using the same format. Only one Summary Budget form is required whether the grant period requested is one or two years.

BUDGET JUSTIFICATION

The Budget Justification should explain all elements of the Detailed Budget. For example, the Budget Justification should explain the role that each person listed in the project budget will play. It should also provide justification for all proposed equipment, supplies, travel, services, and other expenses. The applicant should provide specifications for all hardware and software for which IMLS funding is requested.

IMLS encourages applicants to contribute as cost sharing the salaries of permanent staff to be employed on a project in proportion to the amount of time they will spend on the project. If IMLS funding is requested for salaries of permanent staff, the proposal should explain why funds are requested for this purpose and how the regular duties of these individuals will be performed during the grant period. The Budget Justification should explain the role of any outside consultants and third-party vendors to be employed on the project and how each was identified and selected. Costs for third-party service providers should be documented by bids or otherwise justified.

INDIRECT COSTS (OVERHEAD)

These are costs that are incurred for common or joint objectives and therefore cannot be readily identified with a specific project or activity of an organization. Typical examples of indirect cost type items are the salaries of executive officers, the costs of operating and maintaining facilities, local telephone service, office supplies, and accounting and legal services.

- Indirect costs are computed by applying a negotiated indirect cost rate to a distribution base (usually the direct costs of the project). Organizations that wish to include overhead charges in the budget, but do not have a current federally negotiated indirect cost rate or have not submitted a pending indirect cost proposal to a federal agency, may charge an administrative fee to the project of up to 15 percent. IMLS will pay this administrative fee only on that portion of direct project costs that are supported by IMLS funds. This fee may also be applied to the direct project costs that will be supported by the applicant and may therefore be counted as part of the applicant's cost sharing. If an applicant chooses this option, it must be careful to exclude all indirect-cost type items from the budget and the fee may not be applied to more than the first \$5,000 of distorting costs such as equipment purchases or subcontracts.
- If an institution has a federally negotiated indirect cost rate that will be current at the time an award is made, this rate may be used to determine total project costs, as long as the rate is applied in accordance with the negotiated agreement and a copy of the negotiation is forwarded to IMLS with the application. However, IMLS will pay indirect costs only on the portion of the direct costs that are supported by IMLS funds. Indirect costs that are related to the direct project costs that will be supported by the applicant may be included in the budget only as a part of the applicant's cost sharing. IMLS will not accept an indirect cost rate that is scheduled to expire before the award is issued.
- An institution that is in the process of negotiating an indirect cost rate with a federal agency may apply the proposed rate to estimate total project costs as long as it follows the instructions in the previous paragraph in applying the rate and includes the indirect cost proposal in the application material. IMLS will not pay any indirect costs until a rate is negotiated and a copy of the final agreement is submitted to the IMLS Office of Grants Administration. It is possible that the amount of the award will be reduced if the final negotiated rate is less than the rate that was used in the application budget. However, the amount of the award will not be increased if the negotiated indirect cost rate is higher than the rate proposed in the application.
- An organization that will function as a partner in undertaking grant activities may charge an administrative fee to the project of up to 15 percent if it does not have a federally negotiated indirect cost rate that will be current at the time the award is made. If it chooses to charge indirect costs to the project, a copy of the indirect cost negotiation must be attached to the budget itemization.

**SPECIFICATIONS
FOR
PROJECTS
INVOLVING
DIGITIZATION
(IF
APPLICABLE)**

If a project involves digitization, the "Specifications for Projects Involving Digitization" form on pages 3.29-3.30 must be completed. See "Guidance for Digitization Projects" on pages 3.11-3.12 for a list of resources on digitization projects. This resource list is intended to assist in learning more about digitization projects and is neither exhaustive nor an endorsement by IMLS of any particular resource. The following are instructions describing what information to include in the Specifications for Projects Involving Digitization form. If a proposed project does not involve digitization, the form is not required.

INSTRUCTIONS**Question 1**

Describe all the types of materials that you will digitize. Describe the different formats of materials such as text, photographs, three-dimensional art objects, archaeological artifacts, video, etc., and give the number of each type. Identify special physical features, such as “bound” or “oversize.”

Question 2

- a. Identify all use or access restrictions covering the original materials. Check the type of restriction and give the percentage of the materials to be digitized that are covered.
- b. Explain any access or use restrictions, such as copyright, that will apply to the digitized version being created by the project.

Question 3

Explain what equipment will be used and include specifications that are relevant to the work of the project, such as cameras with zoom capability, scanners, servers, motorized object rigs, etc. Equipment must be described whether you will do the digitization in-house or outsource it to a contractor or partner.

Question 4

Specify the file formats to be produced and the anticipated quality of each format. For images, specify master, access, and thumbnail versions and image quality of each: minimum resolution, depth, tone, and pixel dimensions. If watermarks or other features will be used, explain. For other media (e.g., audio, video, motion picture), provide appropriate specifications. Include sampling rates, if applicable.

Question 5

Explain how the digital material will be delivered to users and describe digital access management systems or software that will be used.

Question 6

Describe your plan for ensuring the quality of the digital product.

Question 7

Estimate the cost per image or unit of digitization (e.g., video, motion picture). Include all aspects of production, such as scanning, quality control, and indexing, and explain what costs are included in the calculation.

Question 8

Explain what metadata will be used to describe and manage the content. Include the standards that will be used for data structure, content (e.g., thesauri), protocols, administrative information, and communication of the content.

Question 9

Provide a plan for preserving and maintaining the digital material during and after the grant period. The plan should cover metadata, storage systems and media to be used, migration plans, maintenance responsibilities, and funding support.

Question 10

If you are producing collection-level records, describe plans for submitting collection-level descriptive records to a bibliographic utility or service, such as the Research Libraries Information Network (RLIN) or Online Computer Library Center (OCLC).

Question 11

Describe plans for submitting information about the project to a public registry of digital resources, including the IMLS-supported Digital Collections and Content Registry and Metadata Repository Project at <http://imlsdc.grainger.uiuc.edu>.

Question 12

Provide URL(s) for applicant's previously digitized collections, if applicable. If the proposed digital collection will differ substantially in look and feel from collections previously digitized, explain what the difference(s) will be.

**SAMPLE
SCHEDULE
OF
COMPLETION**

The applicant must provide a Schedule of Completion that shows when each major project activity will be completed and how grant funds will be expended throughout the project. The Schedule of Completion must correspond to the activities described in the Narrative. It must include direct costs requested from IMLS for each activity. The dates of your Schedule of Completion must correspond with the project dates on the Face Sheet. The applicant need not follow the sample format on page 3.31 but must provide the same information, indicating milestones for completion of each major project activity and showing how grant funds are to be spent over the course of the project.

**IMLS
ASSURANCES**

To be considered for a grant, an authorizing tribal official must read the Assurances and sign the certification on the Application Face Sheet. An authorizing official of the applicant tribe is a person who has the authority to apply for federal support of the tribe's activities and to enter into legal agreements in the name of the tribe.

ATTACHMENTS

Include a copy of the Three-Year Plan submitted with the 2005 IMLS Basic Grant or a revised version thereof. Resumes or vitae of **no more than two pages** each for all personnel working on project activities must be included. For new positions for which IMLS funding is requested, include position descriptions. Also, applicants should include documents that specifically relate to the justification for the project. Information may include needs assessments, letters of support, letters of commitment, specifications for equipment to be purchased, products or evaluations from previously completed or ongoing projects of a similar nature, or other documents for the evaluation of the proposal.

**FOR MORE
INFORMATION**

For questions, contact: Alison Freese, Senior Program Officer
Native American Library Services
(202) 606-5408; afreese@imls.gov

Sending the Application to IMLS

Send applications to:

Office of Library Services, Room 802
Institute of Museum and Library Services
1100 Pennsylvania Avenue, NW
Washington, DC 20506

SHIPPING

Applications must be postmarked no later than the application deadline:

May 1, 2005

Shipping an application to IMLS:

- All applications must be postmarked no later than the application deadline. Applications that do not meet the postmark deadline will be rejected without evaluation.
- All of the first-class and Priority mail sent to IMLS through the U.S. Postal Service is put through an irradiation process, which results in lengthy delays in mail delivery. Support materials (e.g., CDs, videos, slides) put through the irradiation process are suffering irrevocable damage.
- Please consider using commercial delivery services. Applications do not need to be sent overnight; ground service is acceptable.
- If you must use the U.S. Postal Service, IMLS recommends certified or registered mail.
- Due to the length and number of copies required for complete submission, applications cannot be accepted by fax or e-mail.
- In the event that a deadline falls on a day U.S. post offices are closed, such as Sundays and federal holidays, IMLS will accept proposals postmarked the next business day.
- If an application is received more than 30 working days after the postmark deadline, it may not be sent out for review, and may be rejected.
- Within 15 working days after the application deadline, IMLS will mail applicants an acknowledgment form with an application log number. If this form is not received, contact IMLS to make sure the application was received.

IMLS ACKNOWLEDGMENT

PROOF OF SHIPPING

IMLS may ask for proof of shipping if the postmark date on the package cannot be read.

- The U.S. Postal Service does not always postmark a package when it receives one. Ask to have the package dated, then verify that it is properly date stamped.
- IMLS will accept a legible receipt stamped by the U.S. Postal Service or a legible dated shipping label, invoice, or receipt from a commercial carrier.
- IMLS will not accept private metered postmarks or private mail receipts unless they contain a legible date stamped by the U.S. Postal Service.
- If using registered mail, the green return receipt card does not meet the IMLS requirement for proof of shipping.

Face Sheet for an Enhancement Grant

1. Name of Tribe or Alaska Native Village/Corporation _____

2. Applicant's Mailing Address _____

3. City _____ 4. State _____ 5. ZIP Code _____

6. DUNS Number (9 digits) _____ 7. Taxpayer Identification Number (9 digits) _____

8. Name and Title of Authorizing Official _____

9. Authorizing Official Mailing Address _____

10. City _____ 11. State _____ 12. ZIP Code _____

13. Business Phone of Authorizing Official _____ 14. Business Fax of Authorizing Official _____

15. E-mail Address of Authorizing Official _____

16. Name and Title of Project Director ☐ Mr. ☐ Ms. ☐ Dr. _____

17. Business Phone of Project Director _____ 18. Affiliation of Project Director (name of library, school, etc.) _____

19. Project Director's Mailing Address _____

20. City _____ 21. State _____ 22. ZIP Code _____

23. FAX Number of Project Director _____ 24. E-mail Address of Project Director _____

25. Institutional Profile:

• Number of hours open per week _____

• Number of library staff _____ Part-time _____ Full-time _____

• Number of circulation transactions per year _____

• Number of holdings (books, subscriptions, media) _____

• Does the library have access to the Internet? _____

• Does the library provide public access to the Internet? _____

• Amount of operating budget for library services in most recently completed fiscal year (include all sources) _____

26. Project Title: _____

27. In the space below or on a separate page, summarize the project activities in 200 words or less.

28. Grant Amount Requested from IMLS \$ _____
29. Amount of Cost Sharing \$ _____
30. Total Project Costs from all Sources \$ _____
31. Grant Period (check one) ☐ one-year grant ☐ two-year grant
32. Grant Period (start date) ____ / 01 / ____ – ____ / ____ / ____ (end date)
33. Digitization Project ☐ Yes ☐ No

To the best of my knowledge and belief, the information provided in this application is true and correct. This application has been duly authorized by the governing body of the applicant, and the applicant will comply with all grant terms and conditions and with the assurances and certifications that appear in the IMLS Native American Library Services guidelines.

(Name and Title of Authorizing Official)

(Signature)

(Date)

Project Budget Form

YEAR 1/PAGE 1

SECTION 1: DETAILED BUDGET

IMPORTANT! READ INSTRUCTIONS ON PAGES 3.15–3.17 BEFORE PROCEEDING.

Name of Applicant _____

SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE	NO.	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES			\$		

SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE	NO.	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES			\$		

FRINGE BENEFITS

RATE	SALARY BASE	IMLS	COST SHARE	TOTAL
_____	% of \$ _____	_____	_____	_____
_____	% of \$ _____	_____	_____	_____
_____	% of \$ _____	_____	_____	_____
_____	% of \$ _____	_____	_____	_____
TOTAL FRINGE BENEFITS		\$		

CONSULTANT FEES

NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	NO. OF DAYS (OR HRS) ON PROJECT	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL CONSULTATION FEES			\$		

TRAVEL

FROM/TO	NUMBER OF: PERSONS DAYS	SUBSISTENCE COSTS	TRANSPORTATION COSTS	IMLS	COST SHARE	TOTAL
IMLS Meeting	() ()	_____	_____	\$2,500	_____	_____
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
TOTAL TRAVEL COSTS				\$		

Project Budget Form

YEAR 1 / PAGE 2

SECTION 1 CONTINUED

MATERIALS, SUPPLIES AND EQUIPMENT

ITEM	BASIS/METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL COST OF MATERIALS, SUPPLIES & EQUIPMENT \$		_____	_____	_____

SERVICES

ITEM	BASIS/METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL SERVICES		\$ _____	_____	_____

OTHER

ITEM	BASIS/METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL COST OF OTHER		\$ _____	_____	_____

	IMLS	COST SHARE	TOTAL
YEAR ONE DIRECT PROJECT COSTS	_____	_____	_____
YEAR ONE INDIRECT PROJECT COSTS CHARGED TO (see below to calculate Indirect Costs)	_____	_____	_____
YEAR ONE TOTAL PROJECT COSTS (Direct and Indirect Costs)	_____	_____	_____

CALCULATE INDIRECT COSTS:

IMLS will pay indirect costs only on the direct costs requested from IMLS.

Applicant is using:

- ☐ An administrative fee which does not exceed 15% of modified total direct costs charged to IMLS
- ☐ Federally negotiated cost rate that will be in effect as of October 1, 2005, or a copy of a rate proposal that is currently under consideration (enclose copy with application)

_____ % of \$ _____ = _____
Rate Base Amount Indirect Costs

Project Budget Form

YEAR 2/PAGE 1 (IF APPLICABLE)

SECTION 1: DETAILED BUDGET

Name of Applicant _____

SALARIES AND WAGES (PERMANENT STAFF)

NAME/TITLE	NO.	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES			\$		

SALARIES AND WAGES (TEMPORARY STAFF HIRED FOR PROJECT)

NAME/TITLE	NO.	METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
_____	()	_____	_____	_____	_____
TOTAL SALARIES AND WAGES			\$		

FRINGE BENEFITS

RATE	SALARY BASE	IMLS	COST SHARE	TOTAL
_____	% of \$	_____	_____	_____
_____	% of \$	_____	_____	_____
_____	% of \$	_____	_____	_____
_____	% of \$	_____	_____	_____
TOTAL FRINGE BENEFITS		\$		

CONSULTANT FEES

NAME/TYPE OF CONSULTANT	RATE OF COMPENSATION (DAILY OR HOURLY)	NO. OF DAYS (OR HRS) ON PROJECT	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
TOTAL CONSULTATION FEES			\$		

TRAVEL

FROM/TO	NUMBER OF: PERSONS DAYS	SUBSISTENCE COSTS	TRANSPORTATION COSTS	IMLS	COST SHARE	TOTAL
IMLS Meeting	() ()	_____	_____	\$2,500	_____	_____
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
_____	() ()	_____	_____	_____	_____	_____
TOTAL TRAVEL COSTS				\$		

Project Budget Form

YEAR 2/PAGE 2

SECTION 1 CONTINUED

MATERIALS, SUPPLIES AND EQUIPMENT

ITEM	BASIS/METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL COST OF MATERIALS, SUPPLIES & EQUIPMENT		\$ _____	_____	_____

SERVICES

ITEM	BASIS/METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL SERVICES		\$ _____	_____	_____

OTHER

ITEM	BASIS/METHOD OF COST COMPUTATION	IMLS	COST SHARE	TOTAL
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
TOTAL COST OF OTHER		\$ _____	_____	_____

	IMLS	COST SHARE	TOTAL
YEAR ONE DIRECT PROJECT COSTS	_____	_____	_____
YEAR ONE INDIRECT PROJECT COSTS CHARGED TO (see below to calculate Indirect Costs)	_____	_____	_____
YEAR ONE TOTAL PROJECT COSTS (Direct and Indirect Costs)	_____	_____	_____

CALCULATE INDIRECT COSTS:

IMLS will pay indirect costs only on the direct costs requested from IMLS.

Applicant is using:

- ☐ An administrative fee which does not exceed 15% of modified total direct costs charged to IMLS
- ☐ Federally negotiated cost rate that will be in effect as of October 1, 2005, or a copy of a rate proposal that is currently under consideration (enclose copy with application)

_____ % of \$ _____ = _____
Rate Base Amount Indirect Costs

Project Budget Form

SECTION 2: SUMMARY BUDGET

IMPORTANT! READ INSTRUCTIONS ON PAGE 3.16 BEFORE PROCEEDING.

Name of Applicant _____

DIRECT COSTS

	IMLS	COST SHARE	TOTAL
SALARIES AND WAGES	_____	_____	_____
FRINGE BENEFITS	_____	_____	_____
CONSULTANT FEES	_____	_____	_____
TRAVEL	_____	_____	_____
MATERIALS, SUPPLIES & EQUIPMENT	_____	_____	_____
SERVICES	_____	_____	_____
OTHER	_____	_____	_____
TOTAL DIRECT COSTS	\$ _____	\$ _____	\$ _____
TOTAL INDIRECT COSTS	\$ _____	\$ _____	\$ _____

*You may request indirect costs from IMLS only on the direct project costs requested from IMLS.

TOTAL PROJECT COSTS \$ _____

AMOUNT OF CASH CONTRIBUTIONS \$ _____

AMOUNT OF IN-KIND CONTRIBUTIONS \$ _____

TOTAL AMOUNT OF COST SHARING \$ _____
(DIRECT AND INDIRECT COSTS)

AMOUNT REQUESTED FROM IMLS \$ _____
(DIRECT AND INDIRECT COSTS)

Have you received or requested funds for any of these project activities from another federal agency? (please check one) ☐ Yes ☐ No

If yes, name of agency _____

Date of application _____ or award _____ Amount requested or received \$ _____

Specifications for Projects Involving Digitization

1. Describe types of materials to be digitized (e.g., artifacts, maps, manuscripts, photographs, audio recordings, video recordings, motion pictures) and number of each.

2. a. Identify copyright issues and other potential restrictions with regard to the original material:

- ☐ Public domain ____% of total
- ☐ Permissions have been obtained ____% of total
- ☐ Permissions to be requested ____% of total – Plan to address:
- ☐ Privacy concerns ____% of total – Plan to address:
- ☐ Other - Explain:

- b. Describe the terms of access and the use of digital version created by this project.

3. List the equipment, with specifications, whether purchased, leased, or outsourced, that will be used (e.g., camera, scanner, server):

4. Specify each type of file format (e.g., TIFF, JPEG) to be produced and anticipated image quality of each (e.g., minimum resolution, depth, tone, pixel dimensions):

- ☐ Master _____
- ☐ Access _____
- ☐ Thumbnail _____
- ☐ Formats for other media (e.g., audio, video, motion picture), include sampling rates, if applicable _____

5. Describe (1) the delivery medium that will be used and (2) the digital access management system or systems that will be used to make this material available to others. _____

6. Describe the quality control plan: _____

7. Estimate cost per image. Include costs such as scanning, quality control, and indexing. Indicate the basis for calculation: _____

8. Explain how content will be discovered through metadata, including which standards you will use (e.g., MARC, EAD, Dublin Core, VRA Core Categories, Categories for the Description of Works of Art): _____

9. Describe plans for preservation and maintenance of the digital files during and after the expiration of the grant period: _____

10. If you are producing collection-level records, describe plans for submitting collection-level descriptive records to a bibliographic utility, such as Research Libraries Information Network (RLIN) or Online Computer Library Center (OCLC): _____

11. Describe plans for submitting information about the project to a public registry of digital resources: _____

12. Provide URL(s) for applicant's previously digitized collections, if applicable: _____

Sample Schedule of Completion

The applicant must provide a Schedule of Completion that shows when each major project activity will be completed and how grant funds will be expended throughout the project. The Schedule of Completion must correspond to the activities described in the Narrative. It must include direct costs requested from IMLS for each activity. The dates your Schedule of Completion must correspond with the project dates on the Face Sheet. The applicant need not follow this sample format but must provide the same information, indicating milestones for completion of each major project activity and showing how grant funds are to be spent over the course of the project.

	Year: _____											
	Oct.	Nov.	Dec.	Jan.	Feb.	Mar.	Apr.	May	June	July	Aug.	Sept.
Activity 1			<div><div></div></div> \$7,000									
Activity 2								<div><div></div></div> \$10,000				
Activity 3							<div><div></div></div> \$7,000					
Activity 4												<div><div></div></div> \$40,000
Activity 5						<div><div></div></div> \$10,000						
Activity 6							<div><div></div></div> \$7,000					
Activity 7									<div><div></div></div> \$5,000			
Activity 8										<div><div></div></div> \$26,500		
Activity 9										<div><div></div></div> \$4,000		
Activity 10									<div><div></div></div> \$7,000			
Activity 11											<div><div></div></div> \$4,000	
Subtotal: \$127,500												
15% Indirect Cost: \$22,500												
Total: \$150,000												

IMLS Assurances

The IMLS is required to obtain from all applicants certifications regarding federal debt status, debarment and suspension, non-discrimination, and a drug-free workplace. Applicants requesting more than \$100,000 in grant funds must also certify regarding lobbying activities and may be required to submit a "Disclosure of Lobbying Activities" (Standard Form LLL). Some applicants will be required to certify that they will comply with other federal statutes that pertain to their particular situation. These requirements are incorporated in the assurances statement below. Review the Assurances and sign the certification on the Application Face Sheet. If you receive a grant, you must comply with these requirements.

ASSURANCES STATEMENT

By signing the application form, the authorizing official, on behalf of the applicant, assures and certifies that, should a grant be awarded, the applicant will comply with the statutes outlined below and all related IMLS regulations. These assurances are given in connection with any and all financial assistance from the Institute of Museum and Library Services after the date this form is signed, but may include payments after this date for financial assistance approved prior to this date. These assurances shall obligate the applicant for the period during which the Federal financial assistance is extended. The applicant recognizes and agrees that any such assistance will be extended in reliance on the representations and agreements made in these assurances, and that the United States government has the right to seek judicial enforcement of these assurances, which are binding on the applicant, its successors, transferees, and assignees, and on the authorized official whose signature appears on the application form.

I. CERTIFICATIONS REQUIRED OF ALL APPLICANTS

FINANCIAL, ADMINISTRATIVE, AND LEGAL ACCOUNTABILITY

The authorizing official, on behalf of the applicant, certifies that the applicant has legal authority to apply for federal assistance and the institution, managerial, and financial capability (including funds sufficient to pay the non-federal share of project costs) to ensure proper planning, management, and completion of the project described in this application. All grantees must comply with all grant terms and conditions, all requirements of the IMLS Grants Regulations (45CFR 1110, 1183, 1185, and 1186) and all other applicable federal statutes and regulations.

FEDERAL DEBT STATUS

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that the applicant is not delinquent in the repayment of any federal debt.

DEBARMENT AND SUSPENSION

The authorizing official, on behalf of the applicant, certifies to the best of his or her knowledge and belief that neither the applicant, nor its principals:

- (a) are presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from covered transactions by any federal department or agency;
- (b) have within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (federal, state or local) transaction or contract under a public transaction, or in connection with a violation of federal or state antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

- (c) are presently indicted for or otherwise criminally or civilly charged by a governmental entity (federal, state, or local) with commission of any of the offenses enumerated in paragraph (b) of this certification; and
- (d) have within a three-year period preceding this application/proposal had one or more public transactions (federal, state, or local) terminated for cause or default.

**NON-
DISCRIMINATION**

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with the following nondiscrimination statutes and their implementing regulations:

- (a) Title VI of the Civil Rights Act of 1964, as amended (42 U.S.C. § 2000 *et seq.*), which provides that no person in the United States shall, on the grounds of race, color, or national origin, be excluded from participation in, be denied the benefits of, or otherwise be subject to discrimination under any program or activity receiving federal financial assistance;
- (b) Section 504 of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*), which prohibits discrimination on the basis of disability in federally assisted programs;
- (c) Title IX of the Education Amendments of 1972, as amended (20 U.S.C. §§ 1681-83, 1685-86), which prohibits discrimination on the basis of sex in education programs and activities receiving federal financial assistance; and
- (d) the Age Discrimination in Employment Act of 1975, as amended (42 U.S.C. § 6101 *et seq.*), which prohibits discrimination on the basis of age in federally assisted programs.

**DRUG-FREE
WORKPLACE
ACT OF
1988**

- A. The authorizing official, on behalf of the applicant, certifies that the applicant will or will continue to provide a drug-free workplace by:
 - (a) publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the action that will be taken against employees for violation of such prohibition;
 - (b) establishing an ongoing drug-free awareness program to inform employees about:
 - 1. the dangers of drug abuse in the workplace;
 - 2. the grantee's policy of maintaining a drug-free workplace;
 - 3. any available drug counseling, rehabilitation, and employee assistance programs; and
 - 4. the penalties that may be imposed on employees for drug abuse violations occurring in the workplace;
 - (c) making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);
 - (d) notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will
 - 1. abide by the terms of the statement; and
 - 2. notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace not later than five calendar days after such conviction;
 - (e) notifying the agency in writing within ten (10) calendar days after receiving notice under subparagraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice,

including position title, to every grant officer on whose grant activity the convicted employee was working, unless the federal agency has designated a central point for the receipt of such notices. Notices shall include the identification number(s) of each affected grant;

- (f) taking one of the following actions within thirty (30) days of receiving notice under subparagraph (d)(2) with respect to any employee who is so convicted:
 - 1. taking appropriate personnel action against such an employee, up to and including termination consistent with the requirements of the Rehabilitation Act of 1973, as amended (29 U.S.C. § 701 *et seq.*); or
 - 2. requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a federal, state, or local health, law, or other appropriate agency;
- (g) making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e), and (f).

- B. The applicant shall either identify the site(s) for the performance of work done in connection with the project in the application material or shall keep this information on file in its office so that it is available for federal inspection. The street address, city, county, state, and zip code should be provided whenever possible.

**LOBBYING
ACTIVITIES
(APPLIES
TO
APPLICANTS
REQUESTING
FUNDS IN
EXCESS OF
\$100,000)**

The authorizing official certifies, to the best of his or her knowledge and belief, that:

- (a) No federal appropriated funds have been paid or will be paid, by or on behalf of the authorizing official, to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of a federal contract, the making of a federal grant, the making of a federal loan, the entering into of a cooperative agreement, or the extension, continuation, renewal, amendment, or modification of a federal contract, grant, loan, or cooperative agreement.
- (b) If any funds other than appropriated federal funds have been paid or will be paid to any person (other than a regularly employed officer or employee of the applicant) for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this federal contract, grant, loan, or cooperative agreement, the authorizing official shall request, complete, and submit Standard Form LLL, "Disclosure of Lobbying Activities," in accordance with its instructions.
- (c) The authorizing official shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly.

**GENERAL
CERTIFICATION**

The authorizing official, on behalf of the applicant, certifies that the applicant will comply with all applicable requirements of all other federal laws, executive orders, regulations, and policies governing the program.

II. CERTIFICATIONS REQUIRED OF SOME APPLICANTS

The following certifications are required if applicable to the project for which an application is being submitted. Applicants should be aware that additional federal certifications, not listed below, might apply to a particular project.

**HISTORIC
PROPERTIES**

The authorizing official, on behalf of the applicant, certifies that the applicant will assist the awarding agency in assuring compliance with Section 106 of the National Historic Preservation Act of 1966, as amended (16 U.S.C. § 470f), Executive Order (E.O.) 11593, and the Archaeological and Historic Preservation Act of 1974 (16 U.S.C. § 469 *et seq.*).

For further information on the certifications, contact IMLS at 1100 Pennsylvania Avenue, NW, Washington, DC 20506

Checklist for Enhancement Grant Application

Before mailing your application, please make certain that you have completed the following:

	Please check
Face Sheet (listed the tribe, Alaska Native village or corporation as the name of the applicant and signed by an authorizing official)	_____
Abstract	_____
Narrative (Includes all evaluation criteria except budget—maximum 10 pages)	_____
Project Budget	
Detailed Budget forms	_____
Summary Budget form	_____
Budget Justification	_____
Copy of current federally negotiated indirect cost rate agreement or indirect cost rate proposal, if applicable	_____
Specifications for Projects Involving Digitization, if applicable	_____
Schedule of Completion	_____
Attachments (i.e., Three-Year Plan, resumes, letters of support, etc.)	_____
Original and TEN copies of the complete application form	_____
Two additional copies of the Face Sheet	_____
Electronic copy of the Face Sheet, Abstract, Narrative, and Specifications for Digitization (if applicable)	_____

Please include a copy of this completed checklist when you mail the application.

Equal Opportunity Statement

IMLS programs do not discriminate on the basis of race, color, national origin, sex, disability, or age. For further information, write to the Civil Rights Officer, Institute of Museum and Library Services, 1100 Pennsylvania Avenue, NW, Washington, DC 20506.



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